

Y PWYLLGOR ARCHWILIO

24 IONAWR 2020

CYNNYDD O RAN ARGYMHELLION YR ADRODDIAD RHEOLEIDDIO

Pwrpas

Amlinellu'r cynnydd o ran argymhellion yr adroddiad rheoleiddio.

Yr argymhellion/penderfyniadau allweddol sydd eu hangen

Derbyn yr adroddiad.

Y rhesymau:

O dan Ddeddf Llywodraeth Leol (Cymru) 2011- mae'n ofynnol i'r Pwyllgor Archwilio ddilyn argymhelliad yr adroddiad rheoliadol. Paragraffau 9.16 i 9.19.

**Angen cyfeirio'r mater at y Bwrdd Gweithredol / Cyngor er mwyn gwneud penderfyniad:
Amh.**

Cyfarwyddiaethau: Y Prif Weithredwr / Gwasanaethau Corfforaethol	Swyddi:	Rhifau ffôn / cyfeiriadau e-bost:
<u>Enwau'r Penaethiaid Gwasanaeth:</u>		
Noelwyn Daniel	Pennaeth TGCh a Pholisi Corfforaethol	01267 246270 NDaniel@sirgar.gov.uk
Helen Pugh	Pennaeth Refeniw a Chydymffurfiaeth Ariannol	01267 246223 HLPugh@sirgar.gov.uk
<u>Awdur yr adroddiad:</u>		
Robert James	Swyddog Cynllunio Perfformiad	01267 224486 RNJames@sirgar.gov.uk

**EXECUTIVE SUMMARY
AUDIT COMMITTEE
24TH JANUARY 2020**

PROGRESS ON REGULATORY REPORT RECOMMENDATIONS

To outline progress on regulatory report recommendations.

Introduction

In December 2018 the Audit Committee received its first report on the Progress of Regulatory Report recommendations. This report provides the second.

The Council monitors regulatory report recommendations on its Performance Information Monitoring System (PIMS).

The report recommendations have also been included onto the CMT and PEB Dashboards for quarterly performance monitoring purposes.

There are two main types of report:

National reports. Sometimes recommendations made in these reports will not apply to Carmarthenshire e.g. the best practice being recommended may already be established practice.

Local reports specific to Carmarthenshire County Council.

This report covers the reports listed in the recent Wales Audit Office Annual Improvement Report on Carmarthenshire County Council, August 2019. This was received by Audit Committee in its 13th September 2019 meeting. As well as some recommendations from earlier reports that are still ongoing.

Some regulatory report recommendations are extremely long and detailed. These have been summarised for the purposes of this report. The original full recommendations can be viewed in the original reports. Links to these are provided at the end of this cover sheet.

In the Wales Audit Office report on Audit Committee Effectiveness (July 2018), there was a Proposal for Improvement that we should strengthen arrangements for tracking actions taken to address recommendations in regulatory reports. This process addresses this proposal.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Noelwyn Daniel, Head of ICT & Corporate Policy

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	NONE	NONE	NONE	NONE	NONE

1. Policy, Crime & Disorder and Equalities

The Wales Audit Office review of *Audit Committee Effectiveness* (July 2018) identifies the core functions of the Audit Committee, one of which concerns monitoring.

The report makes 5 Proposals for Improvement one of which concerns tracking progress:-

Proposal 3: Ensure that all Audit Committee members have access to full versions of all internal audit and external regulatory and audit reports, and strengthen arrangements for tracking actions taken to address the recommendations they include.

2. Legal

The Local Government Act (Wales) 2011 – Statutory Guidance identifies that Audit Committee should:-

receive the reports from external auditors and follow up their recommendations for the year.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Noelwyn Daniel, Head of ICT & Corporate Policy

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Audit Committee Effectiveness- Carmarthenshire County Council- July 2018.		Link
<u>The Local Government Act (Wales) 2011</u>		<u>The Local Government Act (Wales) 2011 Statutory Guidance Chapter 9</u>
Wales Audit Office Annual Improvement Report on Carmarthenshire County Council, August 2019		Wales Audit Office website
Regulatory Recommendations Log		Wales Audit Office website Care Inspectorate Wales (CSSIW) website